

Family Caregiver Program Onsite Monitoring & Performance Review Tool



Iowa Department on Aging
510 E 12th Street, Ste. 2
Des Moines, IA 50319
515.725.3333 | 800.532.3213
www.iowaaging.gov

Area Agency on Aging:		IDA Monitor:	
AAA Program Staff: (Name & Title)		Review Period:	
Attachment(s):		Date(s) of Onsite:	

Section I: Requirement Compliance Review

References Federal, State and/or contractual requirements with which the AAA must be in compliance. Deficiencies noted in this section are findings which will require corrective action.

#	Authority	Review Question	Complaint		Comments (Identify document used to verify compliance)
			Yes	No	
1	14.3 Eligibility for services	In order to be eligible for services under this chapter, a family caregiver shall be providing informal in-home or community care to: 1. An older individual; or 2. A person of any age with Alzheimer’s disease, a related disorder, or a neurological or organic brain dysfunction; or 3. A child or children not more than 18 years of age; or 4. An adult child or children aged 19 through 59 with a disability.	<input type="checkbox"/>	<input type="checkbox"/>	

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2	14.4 Priorities for service	<p>In determining eligibility for services for categories as defined in rule 17—14.3 of this chapter, equal priority shall be given to persons in all categories listed below. Each area agency on aging (AAA) will determine if the grandparent component of the program is offered based on the availability of funds.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 20px;"> <tr> <td style="width: 50%; padding: 5px;">Family Caregivers</td> <td style="width: 50%; padding: 5px;">Grandparents and Relative Caregivers</td> </tr> <tr> <td style="padding: 5px;">Individuals of any age with Alzheimer's disease or related disorders.</td> <td style="padding: 5px;">Children with severe disabilities.</td> </tr> <tr> <td style="padding: 5px;">Older individuals with the greatest social and economic needs (with particular attention to low-income individuals) who are providing care to individuals 60 years of age or older.</td> <td style="padding: 5px;">Older individuals with the greatest social and economic needs (with particular attention to low-income individuals) who are providing care to individuals 60 years of age or older.</td> </tr> <tr> <td style="padding: 5px;"></td> <td style="padding: 5px;">Older individuals providing care to persons with severe disabilities, including children with severe disabilities.</td> </tr> </table>	Family Caregivers	Grandparents and Relative Caregivers	Individuals of any age with Alzheimer's disease or related disorders.	Children with severe disabilities.	Older individuals with the greatest social and economic needs (with particular attention to low-income individuals) who are providing care to individuals 60 years of age or older.	Older individuals with the greatest social and economic needs (with particular attention to low-income individuals) who are providing care to individuals 60 years of age or older.		Older individuals providing care to persons with severe disabilities, including children with severe disabilities.	<input type="checkbox"/>	<input type="checkbox"/>	
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3	14.5 Coordination	The AAA and AAA contractors shall coordinate activities with other community agencies and volunteer organizations to provide the types of services described in this chapter.	<input type="checkbox"/>	<input type="checkbox"/>	
4	14.6(1) Information about available services	Each AAA shall provide all of the following categories of service under this chapter. Services may be provided to individuals or to groups directly, or through contract procedures as specified in 17 IAC 6. The services include: This may include, but is not limited to, providing to family caregivers newsletters, seminars or other types of group presentations which identify and explain the various services that may be available.	<input type="checkbox"/>	<input type="checkbox"/>	
			<input type="checkbox"/>	<input type="checkbox"/>	
5	14.6(2) Access to services	This may include, but is not limited to: information, assistance, referral, outreach, and adequate follow-up procedures to ensure that, to the maximum extent practicable, individuals receive the needed services that are available within their communities.	<input type="checkbox"/>	<input type="checkbox"/>	
6	14.6(3) Counseling, training and support groups	This may include, but is not limited to, the following services: <i>a.</i> Individual or group support programs that develop or strengthen informal or family support systems. <i>b.</i> Formal or informal opportunities for individuals to acquire knowledge, experience or skills in caregiving. <i>c.</i> Counseling to enable the caregiver and family to resolve problems or to relieve temporary stresses. Mental health and behavioral health services shall be provided by a mental health professional licensed in this state.	<input type="checkbox"/>	<input type="checkbox"/>	

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7	14.6(4) Respite care	This may include, but is not limited to: <i>a.</i> In-home respite. <i>b.</i> Respite provided by the care recipient attending an adult day service program, senior center or other nonresidential program. <i>c.</i> Institutional respite provided by placing the recipient in a setting such as a nursing facility for a short period of time. <i>d.</i> Children attending summer camps or similar short-term care while the children are being cared for by grandparents.	<input type="checkbox"/>	<input type="checkbox"/>	
8	14.6(5) Supplemental services	This may include, but is not limited to: <i>a.</i> Chore services such as heavy housework, yard work, or sidewalk maintenance. <i>b.</i> An emergency in-home or wearable response system. <i>c.</i> Legal assistance. <i>d.</i> Material aid in the form of goods or services such as food, smoke detectors, eyeglasses, security devices, or other similar aid. <i>e.</i> Assisted transportation using vehicles which may include provision of assistance, including an escort, to a person with physical or cognitive difficulties.	<input type="checkbox"/>	<input type="checkbox"/>	
9	14.7 Conflict of interest	Conflict of interest includes any action or failure to act that may be an actual or perceived conflict between official duties and personal interest. Conflict of interest exists when the family caregiver program or any entity or individual: 1. Uses an official position for private gain (other than salary). 2. Gives preferential treatment to any entity or	<input type="checkbox"/>	<input type="checkbox"/>	

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		<p>individual or fails to act impartially in the conduct of official duties.</p> <p>3. Impedes or adversely affects governmental efficiency or economy.</p> <p>4. Engages in conduct that could adversely affect the confidence of the public in the integrity of the family caregiver program.</p> <p>5. Creates circumstances where it might reasonably be perceived that an entity's or individual's judgment could be influenced by the nature of the circumstances.</p> <p>6. Uses any property of the person giving care or the person receiving care for personal use.</p> <p>7. Provides another direct service to a consumer assigned to the family caregiver program.</p> <p>8. The family caregiver program disproportionately chooses one provider over another provider or indicates it may be attempting to influence the selection of a specific provider.</p>			
10	14.8 Confidentiality	<p>Except by written consent of the consumer or the consumer's legal representative, the use or disclosure by any person of any information concerning a consumer for any purpose not directly connected with the administration of the responsibilities of the department, AAA, or authorized service provider is prohibited</p>	<input type="checkbox"/>	<input type="checkbox"/>	

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11	14.9 Quality standards 14.9(1) AAA staff requirements	<p>Each AAA shall:</p> <p><i>a.</i> Evaluate the full-time equivalent for its family caregiver program, considering current funding levels among other factors, and shall staff the program to best meet the needs of the service delivery area.</p> <p><i>b.</i> Employ or contract for a designated family caregiver specialist with the following demonstrated competencies:</p> <p>(1) A bachelor's degree in the human services field or an associate's degree in the human services field and two years of employment in information and referral positions, which may be substituted for a bachelor's degree. Family caregiver specialists employed prior to April 1, 2009, are exempt from this requirement.</p> <p>(2) If the applicant or prospective contractor does not have the certification required in paragraph "a" of subrule 14.9(2), the applicant shall have three years of prior employment in information and referral positions.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
12	14.9(2) Certification	<p><i>a.</i> A family caregiver specialist shall possess and maintain a current Certification for Information and Referral (I&R) Specialists in Aging (CIRS-A) from the Alliance of Information and Referral Systems at the time of employment or contract; or</p> <p><i>b.</i> If employed on or prior to April 1, 2009, a family caregiver specialist shall obtain the certification required in paragraph "a" of this subrule within six months of April 1, 2009, or upon meeting eligibility requirements for certification which include:</p> <p>(1) At least one year of employment in I&R for specialists with a bachelor's or higher degree; or</p>	<input type="checkbox"/>	<input type="checkbox"/>	

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		(2) Two years of employment in I&R for specialists with an associate's/community college degree; or (3) Three years of employment in I&R for specialists with a high school diploma or GED. c. Part-time staff and volunteers shall possess and maintain a CIRS-A.			
13	14.9(3) Training	The family caregiver specialist shall attend during the term of employment annual and other family caregiver specialist training when provided by the department.	<input type="checkbox"/>	<input type="checkbox"/>	
14	14.9(4)(a) Contractor Compliance	The AAA shall utilize a system to monitor all service providers' performance under the contract and promptly ensure that any problems that arise are corrected. All contracts shall be created and monitored under the provisions of 17—6.11(231) or 17—5.15(231), as applicable. a. For the purposes of this subrule, monitoring means any planned, ongoing, or periodic activity that measures outcomes and ensures contractor compliance with the terms and conditions of the contract and customer satisfaction and also ensures that the contractor meets the needs of the caregiver.	<input type="checkbox"/>	<input type="checkbox"/>	
15	14.9(4)(b) Caregiver Evaluations	The AAA shall conduct caregiver evaluations to determine the quality of services and goods provided, including but not limited to customer satisfaction surveys, inspections, and evaluation of goods and services provided.	<input type="checkbox"/>	<input type="checkbox"/>	
16	14.9(4)(c) Local Contract Monitoring Activities	Monitoring activities shall include: (1) Periodic contact, including on-site visits, to maintain a continuous dialogue with the contractor and to review progress on a regular basis.	<input type="checkbox"/>	<input type="checkbox"/>	

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		<p>(2) Requiring the contractor to submit progress reports or other appropriate data based on predefined contract criteria. These reports shall include documentation indicating where and how moneys received were expended and results of caregiver performance evaluations and customer satisfaction surveys.</p> <p>(3) Reviewing the contractor's reports and verifying the services provided to determine if those services adhere to the contract. Substandard performance shall be identified and addressed appropriately, up to and including cancellation of the contract. Any corrective action shall be completed as soon as possible to maintain quality service to the consumer.</p> <p>(4) Comparing contract billings with the terms contained in the contract to ensure that costs or payments are within contract parameters.</p>			
17	14.10 Reports	The AAA shall record all services and submit all fiscal and performance reports for this program to the department in accordance with current instructions issued by the department	<input type="checkbox"/>	<input type="checkbox"/>	

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Section II: Program/Service/Area/Contract Performance

Addresses achievements, goals, challenges, and needs.

#	Topic	Question(s)	Response(s)
1	Goals	What are the goals?	
2	Achievements	Describe the achievement(s) over the past year.	
3	Challenges	What barriers or challenges have been experienced?	
4	Technical Assistance	Are there areas that would benefit from additional technical assistance?	

Section III: Home Visit

Observations	Comments